

A FRAMEWORK FOR TRANSPARENCY AUDIT

The RTI Act under section 4 provides a comprehensive framework for promoting openness in the functioning of the public authorities.

While Section 4(1) (a) provides a general guideline for record management, so that the information could be easily stored and retained, the sub-sections b, c and d of Section 4 relate to the organizational objects and functions. Sub-sections (b), (c) and (d) of Section 4 of the RTI Act and other related information can be grouped under six categories; namely, 1-organisation and function, 2- Budget and programmes, 3- Publicity and public interface, 4-E. governance, 5-Information as prescribed and 6. Information disclosed on own initiative.

1. Organisation and Function

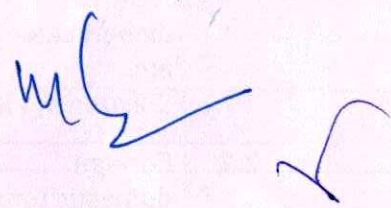
S. No.	Item	Details of disclosure	Remarks/ Reference Points (Fully met/partially met/ not met- Not applicable will be treated as fully met/partially met)
1.1	Particulars of its organisation, functions and duties [Section 4(1)(b)(i)]	(i) Name and address of the Organization	Indian Institute of Technology Kanpur Kalyanpur Kanpur -208016
		(ii) Head of the organization	Director http://www.iitk.ac.in/new/directorate
		(iii) Vision, Mission and Key objectives	http://www.iitk.ac.in/new/institute-overview
		(iv) Function and duties	http://iitk.ac.in/new/acts-statutes-and-ordinances
		(v) Organization Chart	http://www.iitk.ac.in/new/organization-tree
		(vi) Any other details-the genesis, inception, formation of the department and the HoDs from time to time as well as the committees/ Commissions constituted from time to time have been dealt	http://www.iitk.ac.in/new/iitk-history http://www.iitk.ac.in/new/iitk-faculty
1.2	Power and duties	(i) Powers and duties of officers (administrative, financial and	http://www.iitk.ac.in/new/administration-staff-

	of its officers and employees [Section 4(1)(b)(ii)]	judicial)	members http://www.iitk.ac.in/new/finance-office http://www.iitk.ac.in/new/data/Office-Order-100-with-DFPR-2018.pdf
		(ii) Power and duties of other employees	http://www.iitk.ac.in/new/administration-staff-members
		(iii) Rules/ orders under which powers and duty are derived and	http://www.iitk.ac.in/new/data/statutes.pdf
		(iv) Exercised	-----do----
		(v) Work allocation	-----do----
1.3	Procedure followed in decision making process [Section 4(1)(b)(iii)]	(i) Process of decision making Identify key decision making points	-----do----
		(ii) Final decision making authority	-----do----
		(iii) Related provisions, acts, rules etc.	-----do----
		(iv) Time limit for taking a decisions, if any	-----do----
		(v) Channel of supervision and accountability	-----do----
1.4	Norms discharge functions [Section 4(1)(b)(iv)]	for of	
		(i) Nature of functions/ services offered	http://iitk.ac.in/new/institute-overview http://iitk.ac.in/new/acts-statutes-and-ordinances
		(ii) Norms/ standards for functions/ service delivery	http://iitk.ac.in/new/acts-statutes-and-ordinances http://www.iitk.ac.in/new/data/statutes.pdf
		(iii) Process by which these services can be accessed	----do---
		(iv) Time-limit for achieving the targets	----do---
		(v) Process of redress of grievances	https://pgportal.gov.in/
1.5	Rules, regulations, instructions manual records discharging	and for	
		(i) Title and nature of the record/ manual /instruction.	http://www.iitk.ac.in/new/data/statutes.pdf
		(ii) List of Rules, regulations, instructions manuals and records.	http://iitk.ac.in/new/institute-overview http://iitk.ac.in/new/acts-statutes-and-ordinances
		(iii) Acts/ Rules manuals etc.	http://iitk.ac.in/new/acts-statutes-and-ordinances

	functions [Section 4(1)(b)(v)]	(iv) Transfer policy and transfer orders	Transfers of staffs and officials are done as per need basis.
1.6	Categories of documents held by the authority under its control [Section 4(1)(b)(vi)]	(i) Categories of documents	http://www.iitk.ac.in/olddord/Record%20Retention%20Schedule%20of%20GOI%20(Eng).pdf
		(ii) Custodian of documents/categories	----do----
1.7	Boards, Councils, Committees and other Bodies constituted as part of the Public Authority [Section 4(1)(b)(viii)]	(i) Name of Boards, Council, Committee etc.	Board of Governors, IIT Kanpur
		(ii) Composition	http://iitk.ac.in/new/board-of-governors
		(iii) Dates from which constituted	19.02.2019
		(iv) Term/ Tenure	Three Years
		(v) Powers and functions	http://www.iitk.ac.in/new/data/statutes.pdf
		(vi) Whether their meetings are open to the public?	No
		(vii) Whether the minutes of the meetings are open to the public?	No
		(viii) Place where the minutes if open to the public are available?	NA
1.8	Directory of officers and employees [Section 4(1)(b)(ix)]	(i) Name and designation	https://oag.iitk.ac.in/Tel/
		(ii) Telephone, fax and email ID	https://oag.iitk.ac.in/Tel/
1.9	Monthly	(i) List of employees with Gross monthly remuneration	http://iitk.ac.in/new/data/Pay_Structure.pdf http://iitk.ac.in/new/data/https_nwm.iitk.ac.pdf

	Remuneration received by officers & employees including system of compensation [Section 4(1) (b) (x)]	(ii) System of compensation as provided in its regulations	Compensation is given as per the GOI guidelines approved by the Board of Governors IIT Kanpur. http://www.iitk.ac.in/new/data/00-HONORARIUM-7-1-19.pdf
1.10	Name, designation and other particulars of public information officers [Section 4(1) (b) (xvi)]	(i) Name and designation of the public information officer (PIO), Assistant Public Information (s) & Appellate Authority	http://iitk.ac.in/new/public-information
		(ii) Address, telephone numbers and email ID of each designated official.	http://iitk.ac.in/new/public-information
1.11	No. Of employees against whom Disciplinary action has been proposed/ taken (Section 4(2))	of employees against whom disciplinary action has been (i) Pending for Minor penalty or major penalty proceedings	Four Document cannot be provided as the investigation is pending and the same is exempted under section 8(1)(h) of the RTI Act,2005
		(ii) Finalised for Minor penalty or major penalty proceedings	One
1.12	Programmes to advance understanding of RTI (Section 26)	(i) Educational programmes	http://iitk.ac.in/new/public-information
		(ii) Efforts to encourage public authority to participate in these programmes	----do----
		(iii) Training of CPIO/APIO	Institute conducts periodic workshops at the Institute to educate CPIO / APIO and

			other employee(s) about the provisions of RTI Act, 2005. http://iitk.ac.in/new/public-information http://iitk.ac.in/new/data/RTI/RTIGUIDELINES.pdf
		(iv) Update & publish guidelines on RTI by the Public Authorities concerned	
1.13	Transfer policy and transfer orders [F No. 1/6/2011-IR dt. 15.4.2013]		Transfers of staffs and officials are done as per the need basis.



2. Budget and Programme

S.No.	Item	Details of disclosure	Remarks/ Reference Points (Fully met/partially met/ not met- Not applicable will be treated as fully met/partially met)
2.1	Budget allocated to each agency including all plans, proposed expenditure and reports on disbursements made etc. [Section 4(1)(b)(xi)]	(i) Total Budget for the public authority	https://www.iitk.ac.in/new/data/Finance Of ficer Office/Budget-Allocation-for-the-Financial-Year-2018-19-(1-4-19).pdf
		(ii) Budget for each agency and plan & programmes	-----do-----
		(iii) Proposed expenditures	-----do-----
		(iv) Revised budget for each agency, if any	-----do-----
		(v) Report on disbursements made and place where the related reports are available	-----do-----
2.2	Foreign and domestic tours (F.No. 1/8/2012- IR dt. 11.9.2012)	(i) Budget	http://www.iitk.ac.in/new/data/CPDA 1.pdf
		(ii) Foreign and domestic Tours by ministries and officials of the rank of Joint Secretary to the Government and above, as well as the heads of the Department. a) Places visited b) The period of visit c) The number of members in the official delegation d) Expenditure on the visit	http://www.iitk.ac.in/dofa/data/Travel-Support-of-Faculty-members for Quick Link DOFA Webpage.pdf
		(iii) Information related to procurements a) Notice/tender enquires, and corrigenda if any thereon, b) Details of the bids awarded comprising the names of the suppliers of goods/ services being procured, c) The works contracts concluded – in any such combination of the above-and	https://www.iitk.ac.in/new/tenders http://www.iitk.ac.in/new/contract-agreements



		d) The rate /rates and the total amount at which such procurement or works contract is to be executed.	
2.3	Manner of execution of subsidy programme [Section 4(i)(b)(xii)]	(i) Name of the programme of activity	NA
		(ii) Objective of the programme	NA
		(iii) Procedure to avail benefits	NA
		(iv) Duration of the programme/ scheme	NA
		(v) Physical and financial targets of the programme	NA
		(vi) Nature/ scale of subsidy /amount allotted	NA
		(vii) Eligibility criteria for grant of subsidy	NA
		(viii) Details of beneficiaries of subsidy programme (number, profile etc)	NA
2.4	Discretionary and non-discretionary grants [F. No. 1/6/2011-IR dt. 15.04.2013]	(i) Discretionary and non-discretionary grants/ allocations to State Govt./ NGOs/other institutions	NA
		(ii) Annual accounts of all legal entities who are provided grants by public authorities	NA
2.5	Particulars of recipients of concessions, permits of authorizations granted by the public authority [Section 4(1) (b) (xiii)]	(i) Concessions, permits or authorizations granted by public authority	NA
		(ii) For each concessions, permit or authorization granted a) Eligibility criteria b) Procedure for getting the concession/ grant and/ or permits of authorizations c) Name and address of the recipients given concessions/ permits or authorisations d) Date of award of concessions /permits of authorizations	NA

2.6	CAG & PAC paras [F No. 1/6/2011- IR dt. 15.4.2013]	CAG and PAC paras and the action taken reports (ATRs) after these have been laid on the table of both houses of the parliament.	www.iitk.ac.in/new/annual-accounts



3. Publicity Band Public interface

S.No.	Item	Details of disclosure	Remarks/ Reference Points (Fully met/partially met/ not met- Not applicable will be treated as fully met/partially met)
3.1	Particulars for any arrangement for consultation with or representation by the members of the public in relation to the formulation of policy or implementation there of [Section 4(1)(b)(vii)] [F No 1/6/2011-IR dt. 15.04.2013]	Arrangement for consultations with or representation by the members of the public (i) Relevant Acts, Rules, Forms and other documents which are normally accessed by citizens	NA
		(ii) Arrangements for consultation with or representation by a) Members of the public in policy formulation/ policy implementation b) Day & time allotted for visitors c) Contact details of Information & Facilitation Counter (IFC) to provide publications frequently sought by RTI applicants	NA
		(i) Public- private partnerships (PPP) Details of Special Purpose Vehicle (SPV), if any	NA
		(ii) Detailed project reports (DPRs)	NA
		(iii) Concession agreements.	NA
		(iv) Operation and maintenance manuals	NA
		(v) Other documents generated as part of the implementation of the PPP	NA
		(vi) Information relating to fees, tolls, or the other kinds of revenues that may be collected under authorisation from the government	NA
		(vii) Information relating to outputs and outcomes	NA

		(viii) The process of the selection of the private sector party (concessionaire etc.)	NA
		(ix) All payment made under the PPP project	
3.2	Are the details of policies / decisions, which affect public, informed to them [Section 4(1) (c)]	Publish all relevant facts while formulating important policies or announcing decisions which affect public to make the process more interactive; (i) Policy decisions/ legislations taken in the previous one year	http://iitk.ac.in/new/office-orders
		(ii) Outline the Public consultation process	----do----
		(iii) Outline the arrangement for consultation before formulation of policy	----do----
3.3	Dissemination of information widely and in such form and manner which is easily accessible to the public [Section 4(3)]	Use of the most effective means of communication (i) Internet (website)	Dissemination of information for wide publicity is done through Institute website. http://www.iitk.ac.in/
3.4	Form of accessibility of information manual/ handbook [Section 4(1)(b)]	Information manual/handbook available in (i) Electronic format	Yes http://www.iitk.ac.in/new/public-information
		(ii) Printed format	Yes http://www.iitk.ac.in/new/public-information
3.5	Whether information manual/ handbook available free of cost or not [Section 4(1)(b)]	List of materials available (i) Free of cost	Available on institute website http://www.iitk.ac.in/new/public-information
		(ii) At a reasonable cost of the medium	---do---

4. E. Governance

S.No.	Item	Details of disclosure	Remarks/ Reference Points (Fully met/partially met/ not met- Not applicable will be treated as fully met/partially met)
4.1	Language in which Information Manual/Handbook Available [F No. 1/6/2011-IR dt. 15.4.2013]	(i) English	Yes
		(ii) Vernacular/ Local Language	Hindi
4.2	When was the information Manual/Handbook last updated? [F No. 1/6/2011-IR dt 15.4.2013]	Last date of Annual updation	April 10, 2019
4.3	Information available in electronic form [Section 4(1)(b)(xiv)]	(i) Details of information available in electronic form	Yes
		(ii) Name/ title of the document/record/ other information	Manuals
		(iii) Location where available	http://www.iitk.ac.in/new/public-information
4.4	Particulars of facilities available to citizen for obtaining information [Section 4(1)(b)(xv)]	(i) Name & location of the faculty	
		(ii) Details of information made available	http://www.iitk.ac.in/
		(iii) Working hours of the facility	24 hrs
		(iv) Contact person & contact details (Phone, fax email)	CPIO, IITKanpur http://www.iitk.ac.in/new/public-information

4.5	Such other information as may be prescribed under section 4(i) (b)(xvii)	(i) Grievance redressal mechanism	https://pgportal.gov.in/
		(ii) Details of applications received under RTI and information provided	http://www.iitk.ac.in/new/data/RTI/RTI-Annual-Return-for-the-Year-2017-18.pdf
		(iii) List of completed schemes/ projects/ Programmes	http://www.iitk.ac.in/dord/data/status-report/LIST-OF-Completed-PROJECTS-04.04.2019-CIC.pdf
		(iv) List of schemes/ projects/ programme underway	http://www.iitk.ac.in/dord/data/status-report/LIST-OF-Ongoing-PROJECTS-04.04.2019-CIC.pdf
		(v) Details of all contracts entered into including name of the contractor, amount of contract and period of completion of contract	http://www.iitk.ac.in/new/data/tender/file/contract-agreements/Contract-Register-2018-19-IWD-Electrical-Division.pdf
		(vi) Annual Report	https://www.iitk.ac.in/new/annual-reports
		(vii) Frequently Asked Question (FAQs)	https://www.iitk.ac.in/doaa/faqs
		(viii) Any other information such as a) Citizen's Charter	The point is not applicable since no Citizen Charter is appointed
		b) Result Framework Document (RFD)	The point is not applicable since no Citizen Charter is appointed
		c) Six monthly reports on the	The point is not applicable since no Citizen Charter is appointed
d) Performance against the benchmarks set in the Citizen's Charter	The point is not applicable since no Citizen Charter is appointed		
4.6	Receipt & Disposal of RTI applications & appeals [F.No 1/6/2011-IR dt. 15.04.2013]	(i) Details of applications received and disposed	http://www.iitk.ac.in/new/monthly-return-of-rti-application-1st-appeal
		(ii) Details of appeals received and orders issued	http://www.iitk.ac.in/new/monthly-return-of-rti-application-1st-appeal

4.7	Replies to questions asked in the parliament [Section 4(1)(d)(2)]	Details of questions asked and replies given	22 questions were asked and replied from 01.01.2018 to 31.12.2018
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5. Information as may be prescribed

S. No.	Item	Details of disclosure	Remarks/ Reference Points (Fully met/partially met/ not met- Not applicable will be treated as fully met/partially met)
5.1	Such other information as may be prescribed [F.No. 1/2/2016-IR dt. 17.8.2016, F No. 1/6/2011-IR dt. 15.4.2013]	(i) Name & details of (a) Current CPIOs & FAAs (b) Earlier CPIO & FAAs from 1.1.2015	Current CPIO is appointed from 2014 http://www.iitk.ac.in/new/data/RTI/Office-Order-of-CPIO-Appointment.pdf
		(ii) Details of third party audit of voluntary disclosure (a) Dates of audit carried out (b) Report of the audit carried out	Third Party audit was carried out on 08.03.2019 and report was submitted on 25.05.2019 https://www.iitk.ac.in/new/data/RTI/Notification%20of%20Suodisclosure%20Us%204%20pf%20RTI%20Act..pdf https://www.iitk.ac.in/new/data/RTI/Third%20Party%20Audit%20Report%20dt.%2024.05.2019.pdf https://www.iitk.ac.in/new/data/RTI/Third%20Party%20Audit%20Report%20dt.%2025.05.2019..pdf
		(iii) Appointment of Nodal Officers not below the rank of Joint	www.iitk.ac.in/new/data/RTI/Note-to-appoint-Shri-Manoj-Kumar-(AR)-as-

	Secretary/ Additional HoD (a) Date of appointment (b) Name & Designation of the officers	<u>Nodal-Officer.pdf</u> Mr. Manoj Kumar Assistant Registrar
	(iv) Consultancy committee of key stake holders for advice on suo-motu disclosure (a) Dates from which constituted (b) Name & Designation of the officers	<u>www.iitk.ac.in/new/data/RTI/Office-Order-to-constitute-Committee-Under-Section-4-of-RTI-Act.pdf</u>
	(v) Committee of PIOs/FAAs with rich experience in RTI to identify frequently sought information under RTI (a) Dates from which constituted (b) Name & Designation of the Officers	<u>www.iitk.ac.in/new/data/RTI/Office-Order-to-appoint-CPIO.pdf</u> <u>www.iitk.ac.in/new/data/RTI/Office-Order-to-appoint-Registrar-as-an-Appellate-Authority.pdf</u>

6. Information Disclosed on own Initiative

S.No.	Item	Details of disclosure	Remarks/ Reference Points (Fully met/partially met/ not met- Not applicable will be treated as fully met/partially met)
6.1	Item / information disclosed so that public have minimum resort to use of RTI Act to obtain information		https://www.iitk.ac.in/new/public-information
6.2	Guidelines for Indian Government Websites (GIGW) is followed (released in February, 2009 and included in the Central Secretariat Manual of Office Procedures (CSMOP) by Department of Administrative Reforms and Public Grievances, Ministry of Personnel, Public Grievance and Pensions, Govt. Of India)	(i) Whether STQC certification obtained and its validity. (ii) Does the website show the certificate on the Website?	NA
